IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

SECTOR5

FILING COMPLETION UNDER RULE 53(f)

(NOT PCT Applications)

For Design, Provisional, or Utility Applications

**PATENT
APPLICATION**

| COMPLETION Under |
| Rule 53(f) |

In re <u>PATENT APPLICATION</u> of

Attn: Application Division

Inventor(s): Goldstein et al.

| Appln. No.: | 09 | 672,684 | Atty.Dkt. | PM | 12607 | 265981 |
| | **Series Code ⇧** | **Serial No. ⇧** | | | **M#** | **Client Ref** |

Filed: September 28, 2000

Title: METHOD OF AND SYSTEM FOR PROCESSING TRANSACTIONS

Hon. Commisioner of Patents
Washington,DC 20231

Date: February 16, 2001

Sir:

The following **completes the filing** under <u>Rule 53(f)</u> of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received

2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

   <u>(Always</u> "X" box 2 if filling signed Declaration and
   "X" box 2A only if <u>top</u> box of the Declaration is X'd and file application copy, or
   "X" box 2B only if <u>none</u> of the top three boxes of the Declaration is X'd.)

   2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.

   2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.

3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
   a. ☐ Abstract
   b. | # | pages of Specification(only spec. & claims)
   c. ☐ Drawing(s) _____
         No of Sheets
       ☐ Fig(s). _____

4. ☐ Letter filing <u>formal</u> drawing attached.

5. ☒ Attached is an assignment and cover sheet. <u>Please return the recorded assignment</u> to the undersigned.

6. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date		Application No.	Filing Date
(1) 60/156,814	09/29/99	**(2)**		
(3)		**(4)**		
(5)		**(6)**		

7. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in _____

8.

Application No.	Filing Date		Application No.	Filing Date
(1)		**(2)**		
(3)		**(4)**		
(5)		**(6)**		

9. _____ (No.) Certified copy (copies): ☐ attached; ☐ previously filed (date) _____
   in U.S. Application No. _____ / _____ filed on _____

10. Small Entity Status ∅   ☒ is <u>Not</u> claimed   ☐ <u>is</u> claimed (file PAT-256 if this is the first claim of Small Entity Status)

11. ☒ Attached: Copy of Notice to File Missing parts of Nonprovisional Application; return postcard.

12. ☐ Preliminary Amendment:

THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED

				Large/Small Entity		Fee Code
13. Basic Filing Fee . . . . .Design Application				$320/$160		106/26
			<u>Not</u> Design Application	$710/$355	+690	101/201
14. Total Effective Claims	27	minus 20 =	7	x $18/$9	+126	103/203
15. Independent Claims	4	minus 3 =	1	x $80/$40	+78	102/202
16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line <u>blank</u> if this is a <u>reissue</u> application)				$270/$135	+0	104/204
17. Surcharge for filing Declaration/filing fee late				$130/$65	+130	105/205
18.			**FILING FEE ENCLOSED =**	**$1024**		
19. <u>Original</u> due date: January 22, 2001						
20. **Petition is hereby made** to extend the <u>original</u> due date to cover the date this response is filed for which the requisite fee is attached	(1 mo)	$110/$55 =		+110		115/215
	(2mos)	$390/$195 =				116/216
	(3mos)	$890/$445 =				117/217
	(4mos)	$1390/$695 =				118/218
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee				$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee.				$40	+40	581
23. Petition Fee for				$130	+0	
24.			**TOTAL FEE ENCLOSED =**	**$1174**		

Our Deposit Account No. 03-3975
Our Order No.   012607 | 265981
               C#   M#

CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a <u>duplicate</u> copy of this sheet is attached. **This CHARGE STATEMENT <u>does</u> <u>not</u> <u>authorize</u> charge of the <u>issue fee</u> until/unless an issue fee transmittal form is filed.**

Pillsbury Winthrop LLP
Intellectual Property Group

1100 New York Avenue, NW   By Atty: Jonathan E. Jobe, Jr. _____   Reg. No.   28,429 _____
Ninth Floor
Washington, DC 20005-3918   Sig: _____   Fax: (202) 822-0944
Tel: (202) 861-3000   Tel: (619) 544-3102
Atty/Sec: JEJ/KAC

NOTE: File in <u>duplicate</u> with PTO receipt (PAT-103A) and attachments

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/672,684	09/28/2000	Neal Goldstein	PM 12607

Pillsbury Madison & Sutro LLP
Intellectual Property Group
1100 New York Avenue N W
Ninth Floor
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OIPE
FEB 2 0 2001
PATENT & TRADEMARK OFFICE
JC131

FORMALITIES LETTER

OC000000005572903

Date Mailed: 11/22/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
  Applicant must submit $ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is $804.
  - $126 for 7 total claims over 20.
  - $78 for 1 independent claims over 3 .
- The oath or declaration is missing.
  A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of $130 for a non-small entity, must be submitted with the missing items identified in this letter.

03/06/2001 WABRHAM1 00000065 033975 09672684
02 FC:101
03 FC:103   710.00 OP
04 FC:102   126.00 OP
05 FC:105   80.00 OP
06 FC:115   80.00 CH   130.00 OP
                                          30.00 OP

- **The balance due by applicant is $ 1024.**

02/22/2001 RHARIS1 00000004 09672684

01 FC:101   710.00 OP
02 FC:103   126.00 OP
03 FC:105   130.00 OP
04 FC:115   110.00 OP
06 FC:199   58.00 OP

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center
Initial Patent Examination Division (703) 308-1202

file:....\APPS\PreExam\correspondence\2_A.xml

RECEIVED
PILLSBURY MADISON & SUTRO LLP/DC
NOV 30 2000
CL#_____ MT# 26598/
ATTY(S)_____
DUE:_____
DKT BY (1)_____ (2)_____ 11/22/00

PART 1 - ATTORNEY/APPLICANT COPY